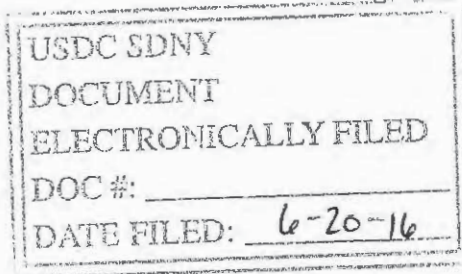


Crotty, P.



UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES SECURITIES AND
EXCHANGE COMMISSION,

Plaintiff,

v.

DANIEL H. MUDD,

Defendant.

Case No. 11-cv-9202 (PAC)

ECF Case

STIPULATION AND ~~PROPOSED~~ ORDER RE PRE-TRIAL SCHEDULE

WHEREAS, on April 13, 2016, the Court set trial in this matter for November 7, 2016;

WHEREAS, the parties have conferred and agreed upon an appropriate schedule for pre-trial submissions, including those submissions covered in the Court's Individual Practices, and for the Final Pre-trial Conference;

WHEREAS, the parties do not believe that, given the agreed-upon pre-trial schedule set out below, it is necessary for the Court to hold the pre-trial conference currently scheduled for September 8, 2016,

ACCORDINGLY, IT IS HEREBY STIPULATED AND AGREED, by and between the undersigned counsel for the parties to the litigation, that:

1. The pre-trial conference currently set for September 8, 2016, is cancelled.
2. On August 3, 2016, the parties shall meet and confer regarding motions in limine.
3. On August 26, 2016, the parties shall exchange exhibit lists, witness lists and deposition designations.

4. On September 2, 2016, the parties shall file their motions in limine; the SEC shall serve on defendant its proposed stipulated facts and proposed voir dire; and defendant shall serve on the SEC his proposed jury instructions.

5. On September 9, 2016, the parties shall exchange the following sections of the Joint Pre-trial Order: Nature of the Case (SEC to draft); Parties' Contentions (both parties to draft); Issues To Be Tried (both parties to draft); and Relief Sought (SEC to draft).

6. On September 16, 2016, the parties shall file oppositions to motions in limine; the SEC shall serve its objections to defendant's proposed jury instructions and any additional proposed jury instructions of its own; and defendant shall serve his objections to the SEC's proposed stipulated facts and proposed voir dire and any additional proposed stipulated facts and proposed voir dire of his own.

7. On September 23, 2016, the parties shall exchange their objections to exhibit lists and their objections to deposition designations.

8. On September 30, 2016, the parties shall file the Final Joint Pre-trial Order and their replies in support of motions in limine.

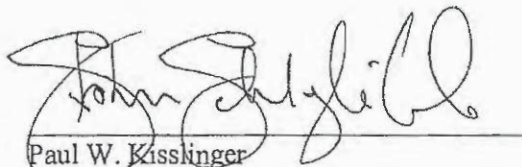
9. On October 19, 2016, the final pre-trial conference will be held at 10:00 a.m.

The pre-trial schedule set out above is summarized in the chart below.

Date	Event
Aug. 3, 2016	Parties Meet and Confer re Motions in Limine
Aug. 26, 2016	Parties Exchange Exhibit Lists, Witness Lists and Deposition Designations
Sept. 2, 2016	Motions in Limine to be Filed SEC Serves its Stipulated Facts and Proposed Voir Dire Defendant Serves its Proposed Jury Instructions

Date	Event
Sept. 9, 2016	<p>Parties Exchange Drafts of the Following Sections of the Pre-Trial Order:</p> <ul style="list-style-type: none"> • Nature of the Case [SEC to Draft] • Parties' Contentions [Both Parties to Draft] • Issues to Be Tried [Both Parties to Draft] • Relief Sought [SEC to Draft]
Sept. 16, 2016	<p>Oppositions to Motions in Limine to be Filed</p> <p>SEC Serves its Objections to Defendant's Proposed Jury Instructions and any Additional Proposed Jury Instructions</p> <p>Defendant Serves its Objections to SEC's Stipulated Facts and Proposed Voir Dire and Any Additional Stipulated Facts and Proposed Voir Dire</p>
Sept. 23, 2016	<p>Parties Exchange Objections to Exhibit Lists</p> <p>Parties Exchange Objections to Deposition Designations</p>
Sep. 30, 2016	<p>Final Joint Pre-Trial Order to be Filed</p> <p>Replies in Support of Motions in Limine to be Filed</p>
Oct. 19, 2016	Final Pre-Trial Conference @ 4:00 PM in Courtroom 14C. The 9-8-16 PTC is cancelled as noted on page 1.
Nov. 7, 2016	First Day of Trial

IT IS SO STIPULATED.

Dated: June 16, 2016


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Attorneys for Defendant

IT IS SO ORDERED.

Dated: June 20, 2016

Paul A. Crotty
HONORABLE PAUL A. CROTTY
United States District Judge *PK*